CHAPTER 6:

SETTING AGENCY REVIEW/ MAXIMUM DRAW AMOUNTS

PURPOSE

In this chapter, you will learn how to set agency review and maximum draw amounts for accounts that you have created.

REVIEW

You create or build an account in ASAP by adding a profile for that account. In order to do the examples in this chapter, you will need to build four accounts for one Recipient Organization and two accounts for a different Recipient Organization.   See Chapter 3.

AGENCY & SYSTEM REVIEW FUNCTIONS

After the account profile has been entered and posted, you may choose to use one of the following options from the Account Functions Menu:

➢ **Maximum Draw Amount Prompt**: The Federal Agency has the option of setting parameters that designate daily, monthly, quarterly and/or total maximum draw amounts for some or all of its accounts. The ASAP system will reject any payment requests made for an amount in excess of the limit.

➢ **Agency Review Criteria Prompt**: The Federal Agency may set a threshold to specify that requests at or above a certain dollar amount for selected accounts be forwarded for Agency Review. The threshold can apply to a single account, all the accounts for a single Recipient Organization, or all the accounts established by your agency.

GUIDANCE FOR INVOKING AGENCY REVIEW FUNCTIONS IN ASAP

The Agency Review features were developed in ASAP to provide a mechanism for Federal Agencies to better control Federal domestic assistance cash outlays for cash management purposes.

Federal Agencies are responsible for monitoring the ASAP accounts, performing cash management of funds, and taking the appropriate actions necessary to ensure the proper use of the accounts by the user organizations.

In evaluating the implementation of Agency Review and Maximum Draw Amounts, FMS recognized that Federal Agencies need to balance controlling cash outlays and ensuring compliance with grant awards, with the Cash Management Improvement Act and Treasury / State Agreements.

This Guidance is intended to assist Federal Agencies and Recipient Organizations in evaluating ASAP account transactions for compliance with good cash management practices.

Purpose - Agency Review and Maximum Draw Amounts are recommended for use at a Federal Agency's discretion for situations related to non-compliance with proper cash management and reporting requirements. Notification must be sent to the Recipient Organization prior to implementation.

1. Federal Agencies are responsible for managing grant programs. Since they have the responsibility of assuring compliance with good cash management practices, each Federal Agency will define the circumstances under which Agency Review and Maximum Draw Amounts are invoked. Consideration factors could include, but not be limited to, the dollar value of the grant award and the history of cash management performance by the Recipient Organization.

2. Both features are considered extreme measures to be instituted as a last resort for grantees. Federal Agencies should have extensive discussions with the Recipient Organization prior to any decision to place an account on Agency Review or Maximum Draw.

3. When invoking Agency Review features, the Federal Agency must regularly and routinely log on to ASAP throughout the day to review payment requests.

Notification - Federal Agencies must insure that Recipient Organizations receive notification 30 days prior to invoking Agency Review or Maximum Draw.

1. The notice will include, at a minimum, the date of the notice, the specific reasons why the Recipient Organization will be placed on Agency Review, the date the Agency Review feature will be invoked, the name and address of the Federal Agency authorizing official, and the name and phone number of a Federal Agency contact.

2. The notification will be sent to the primary contacts identified in the Recipient Organization and Payment Requestor profiles in the ASAP system.

3. Recipient Organization appeals related to the decision should be in writing and addressed to the Federal Agency authorizing official.

4. When Agency Review or Maximum Draw Amounts are invoked for an ASAP account; the ASAP system automatically generates an immediate system notification to the recipient organization advising the Agency Review and/or Maximum Draw Amount feature is in effect. Any changes to an Agency Review or Maximum Draw Amount parameter will also generate an ASAP system notification.

CMIA Implications - Federal Agencies who plan to use Agency Review and Maximum Draw Amounts shall be mindful of the Cash Management Improvement Act and regulations, the associated Treasury/State Agreements, grant award documents, the general financial positions of their recipients, and the relative fiscal impacts.

1. Timeliness of reviews by Federal Agencies is critical in order to minimize payment delays for recipients and avoid CMIA interest liabilities. Federal interest liabilities will accrue if payment delays result from the use of Agency Review.

2. States must submit specific documentation to support all Federal interest liability claims resulting from the use of Agency Review and/or Maximum Draw Amounts.

Time frame - Federal Agencies should review their decision to place Recipient Organizations under maximum draw and/or agency review every 90 days to determine the need to continue. If a Federal Agency decides to invoke these features for another 90-day period, it must notify the Recipient Organization at least 10 days prior to the end of each 90-day period.

GETTING STARTED

Each of the sections in this chapter begins at the Account Functions Menu screen. The steps to reach this screen from the ASAP Main Menu are the same in all cases and so are not repeated in each section. Rather, they appear on the following pages.

STEP 1: ACTION

From the ASAP Main Menu, type 3 for the Federal Agency Functions Menu option and press Enter.

```
 SP010A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
 SP010AO                            MAIN MENU                          HH:MM:SS
 08/02/2000 T


                       <1>  PAYMENT REQUEST PROCESSING
                       <2>  INQUIRY MENU
                       <3>  FEDERAL AGENCY FUNCTIONS MENU
                       <4>  RFC FUNCTIONS MENU
                       <5>  FRB SUPPORT PROCESSING
                       <6>  REPORT REQUEST MENU
                       <7>  NOTIFICATIONS



                      ASAP ID              ENTER SELECTION NUMBER: 3
        ORGANIZATION ACCESS CODE                PRESS ENTER

        F2=EXIT
```

STEP 1: RESULT

The Federal Agency Functions Menu appears.

```
 SP060A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
 SP060AO                  FEDERAL AGENCY FUNCTIONS MENU                HH:MM:SS
 08/02/2000 T




                  <1>  ACCOUNT FUNCTIONS MENU

                  <2>  AUTHORIZATION ENTRY PROMPT

                  <3>  AUTHORIZATION CERTIFICATION MENU

                  <4)  REVIEW PAYMENT REQUESTS PROMPT



                                        ENTER SELECTION NUMBER:
                                        PRESS ENTER

        F2=EXIT            F5=MAIN
```

STEP 2: ACTION

On the Federal Agency Functions Menu, select option 1 for the Account Functions Menu and press Enter.

```
 SP060A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS       08/02/00
 SP060AO                   FEDERAL AGENCY FUNCTIONS MENU                 HH:MM:SS
 08/02/2000 T


                       <1>  ACCOUNT FUNCTIONS MENU

                       <2>  AUTHORIZATION ENTRY PROMPT

                       <3>  AUTHORIZATION CERTIFICATION MENU

                       <4>  REVIEW PAYMENT REQUESTS PROMPT



                                        ENTER SELECTION NUMBER:  1
                                        PRESS ENTER


      F2=EXIT             F5=MAIN
```

STEP 2: RESULT

The Account Functions Menu appears.

```
 SP061A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS       08/02/00
 SP061AO                      ACCOUNT FUNCTIONS MENU                     HH:MM:SS
 08/02/2000 T

                       <1>  ACCOUNT PROFILE ENTRY

                       <2>  ACCOUNT DETAIL ENTRY

                       <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                       <4>  MAXIMUM DRAW AMOUNT PROMPT

                       <5>  AGENCY REVIEW CRITERIA PROMPT


                                        ENTER SELECTION NUMBER:
                                        PRESS ENTER

                       F4=MENU  F5=MAIN
```

SECTION 6.1

SETTING MAXIMUM DRAW AMOUNTS

Using the Maximum Draw feature we will set daily, monthly, quarterly and/or total draw amounts for two accounts. When these limits are exceeded by a payment requestor, the ASAP system will reject the payment request. Maximum Draw Amounts can be applied to 1031 accounts. Affected Payment Requestors and Recipient Organizations should be notified by the Federal Agency when a Maximum Draw Amount has been placed on an ASAP Account.

If you approve a warehoused payment request for one of your recipients and set a Maximum Draw Amount after the approval but before the payment is made, that amount will not be added to the calculations for the Maximum Draw Amount.

The following function key appears on the Maximum Draw Amount Entry screen when it is appropriate to take the action:

F11=LIST   Returns you to the Maximum Draw Amount Recipient List screen.

SCREEN ACTIONS

The maximum draw function allows the Federal Agency to **ADD** a maximum draw amount to an account and **CHANGE** or **DELETE** existing maximum draw amounts. You simply specify which action you wish to perform, add the amount, if appropriate, and press **P** for post on the Maximum Draw Amount Entry screen. In all cases, the Federal Agency may **only** perform these actions on those accounts containing **its own** ALC/Region. Updates to the database are immediate and are confirmed via screen message.

STEP 1: ACTION

On the Account Functions Menu, type 4 for Maximum Draw Amount and press Enter.

```
 SP061A                 AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
 SP061AO                       ACCOUNT FUNCTIONS MENU                    HH:MM:SS
 08/02/2000 T




                        <1>  ACCOUNT PROFILE ENTRY

                        <2>  ACCOUNT DETAIL ENTRY

                        <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                        <4>  MAXIMUM DRAW AMOUNT PROMPT

                        <5>  AGENCY REVIEW CRITERIA PROMPT


                                      ENTER SELECTION NUMBER: 4
                                      PRESS ENTER

                  F4=MENU  F5=MAIN
```

STEP 1: RESULT

The Maximum Draw Amount Prompt screen appears.

```
 SP085A             AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
 SP085AO                  MAXIMUM DRAW AMOUNT PROMPT                   HH:MM:SS
 08/02/2000 T


 AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1
 RECIPIENT ID: _____                         SHORT NAME:
 ACCOUNT ID: _____




    F4=MENU F5=MAIN
```

STEP 2: ACTION

You have the option of hitting Enter to select a recipient from a list of all your recipients
or of entering a Recipient ID to go right to a list of the accounts assigned to that recipient.
We will hit Enter.

```
 SP085A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP085AO                   MAXIMUM DRAW AMOUNT PROMPT                      HH:MM:SS
 08/02/2000 T



 AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1
 RECIPIENT ID:                                  SHORT NAME:
 ACCOUNT ID:    _____






     F4=MENU F5=MAIN
```

STEP 2: RESULT

The Maximum Draw Amount Recipient ID List screen appears.

```
 SP086A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS         08/02/00
 SP086AO                MAXIMUM DRAW AMOUNT RECIPIENT ID LIST             HH:MM:SS
 08/02/2000 T
                                                         PAGE    1    OF 1

 AGENCY LOCATION CODE/REGION:  11000001/__     SHORT NAME: US MONEY1

   <S> TO SELECT ONLY ONE RECIPIENT AT A TIME

    SEL   RECIPIENT ID    SHORT NAME      SEL    RECIPIENT ID   SHORT NAME
     _       0101111      GRAY U
     _       0101112       UMH






     F4=MENU F5=MAIN
```

STEP 3: ACTION

Type an **S** in the **SEL** (Select) column next to the recipient for which you wish to set a maximum draw amount and press Enter.

```
 SP086A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
 SP086AO      MAXIMUM DRAW AMOUNT RECIPIENT ID LIST                     HH:MM:SS
 08/02/2000 T
 PAGE    1    OF 1


 AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1

  <S> TO SELECT ONLY ONE RECIPIENT AT A TIME

  SEL    RECIPIENT ID  SHORT NAME     SEL    RECIPIENT ID   SHORT NAME
   S       0101111     GRAY U
   _       0101112        UMH



  F4=MENU F5=MAIN
```

STEP 3: RESULT

The Maximum Draw Amount Entry screen appears.

```
 SP087A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
 SP087AO                   MAXIMUM DRAW AMOUNT ENTRY                     HH:MM:SS
 08/02/2000 T                                                 PG    1 OF 2

 AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1
 RECIPIENT ID: 0101111                SHORT NAME:              GRAY U
  SELECT: <A> ADD <C> CHANGE <D> DELETE
 SEL ACCOUNT ID      STATUS   FREQUENCY        AMOUNT
  _   F1R10001          O     DAILY     _____
  _                           MONTHLY   _____
  _                           QUARTERLY _____
  _                           TOTAL     _____
  _   F1R10002          O     DAILY     _____
  _                           MONTHLY   _____
  _                           QUARTERLY _____
  _                           TOTAL     _____
  _   F1R10003          O     DAILY     _____
  _                           MONTHLY   _____
  _                           QUARTERLY _____
  _                           TOTAL     _____

 ACTION:_(P=POST, E=ESCAPE, R=REFRESH)
                              F8=PGDN
```

STEP 4: ACTION

Enter A in the **S** (Select) column next to the **ACCOUNT IDs** and **FREQUENCIES** against which you wish to place Maximum Draw amounts. Complete the amount column. Type a **P** in the **ACTION** field and press Enter to post the account details.

```
SP087A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP087AO                    MAXIMUM DRAW AMOUNT ENTRY                    HH:MM:SS
08/02/2000 T                                                    PG    1 OF 2
AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                              SHORT NAME: GRAY U
  SELECT: <A> ADD <C> CHANGE <D> DELETE
SEL ACCOUNT ID     STATUS   FREQUENCY          AMOUNT
 a  F1R10001          O     DAILY     2000000_____
 a                          MONTHLY   8000000_____
 a                          QUARTERLY 32000000_____
 a                          TOTAL     120000000_____
 _  F1R10002          O     DAILY     _____
 _                          MONTHLY   _____
 _                          QUARTERLY _____
 _                          TOTAL     _____
 _  F1R10003          O     DAILY     _____
 a                          MONTHLY   500000_____
 a                          QUARTERLY 1000000_____
 _                          TOTAL     _____
ACTION: P(P=POST, E=ESCAPE, R=REFRESH)
                              F8=PGDN
```

STEP 4: RESULT

You have successfully added Maximum Draw amounts to two accounts. The information you entered is displayed.

```
SP087A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP087AO                    MAXIMUM DRAW AMOUNT ENTRY                    HH:MM:SS
08/02/2000 T                                                    PG    1 OF 2
AGENCY LOCATION CODE/REGION:  11000001/__      SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                              SHORT NAME: GRAY U
  SELECT: <A> ADD <C> CHANGE <D> DELETE
SEL ACCOUNT ID     STATUS   FREQUENCY             AMOUNT
 _  F1R10001          O     DAILY          $2,000,000.00
 _                          MONTHLY        $8,000,000.00
 _                          QUARTERLY     $32,000,000.00
 _                          TOTAL        $120,000,000.00
 _  F1R10002          O     DAILY     _____
 _                          MONTHLY   _____
 _                          QUARTERLY _____
 _                          TOTAL     _____
 _  F1R10003          O     DAILY     _____
 _                          MONTHLY       $500,000.00
 _                          QUARTERLY   $1,000,000.00
 _                          TOTAL     _____
ACTION:_(P=POST, E=ESCAPE, R=REFRESH)
     F3=PRMT F4=MENU F5=MAIN                 F8=PGDN
I0134 ALL MODIFICATIONS SUCCESSFULLY POSTED
```

STEP 5: ACTION

Press F4=MENU to return to the Account Functions Menu.

```
SP087A            AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP087AO                    MAXIMUM DRAW AMOUNT ENTRY                  HH:MM:SS
08/02/2000 T                                                  PG    1 OF 2

AGENCY LOCATION CODE/REGION:  11000001/__     SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                          SHORT NAME: GRAY U
  SELECT: <A> ADD <C> CHANGE <D> DELETE
SEL ACCOUNT ID      STATUS   FREQUENCY          AMOUNT
 _  F1R10001          O      DAILY          $2,000,000.00
 _                           MONTHLY         $8,000,000.00
 _                           QUARTERLY      $32,000,000.00
 _                           TOTAL         $120,000,000.00
 _  F1R10002          O      DAILY         _____
 _                           MONTHLY       _____
 _                           QUARTERLY     _____
 _                           TOTAL         _____
 _  F1R10003          O      DAILY         _____
 _                           MONTHLY          $500,000.00
 _                           QUARTERLY      $1,000,000.00
 _                           TOTAL         _____
ACTION:_(P=POST, E=ESCAPE, R=REFRESH)
      F3=PRMT F4=MENU F5=MAIN                   F8=PGDN
I0134 ALL MODIFICATIONS SUCCESSFULLY POSTED
```

STEP 5: RESULT

The Account Functions Menu appears.

```
SP061A            AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP061AO                    ACCOUNT FUNCTIONS MENU                     HH:MM:SS
08/02/2000 T

                   <1>  ACCOUNT PROFILE ENTRY

                   <2>  ACCOUNT DETAIL ENTRY

                   <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                   <4>  MAXIMUM DRAW AMOUNT PROMPT

                   <5>  AGENCY REVIEW CRITERIA PROMPT

                                    ENTER SELECTION NUMBER:
                                    PRESS ENTER

                   F4=MENU  F5=MAIN
```

SECTION 6.2

SETTING AGENCY REVIEW CRITERIA

Using the Agency Review Criteria feature we will set one threshold for a single account and another threshold for a Recipient Organization. A threshold cannot be negative but it may be zero. If the threshold is zero, all payment requests are subject to review. Affected Payment Requestors and Recipient Organizations should be notified by the Federal Agency when a threshold for Agency Review has been set.

Agencies that have 1031 accounts can set review criteria; however, Agency Review Criteria does not apply to 1031 requests. You will get a message explaining this after posting the review criteria.

REQUIRED FIELDS

➢ **Select Level** - used to select level at which accounts are to be subject to Agency Review:

➢ **Threshold** - used to set the amount at or above which payment requests will be forwarded for Agency Review.

FUNCTION KEYS

The following function key appears on the Agency Review Criteria for Specific Account ID(S) screen when it is appropriate to take the action:

F11=LIST Returns you to the Agency Review Criteria for Account ID(S) Recipient List screen.

SCREEN ACTIONS

The agency review criteria function allows the Federal Agency to **ADD** a threshold and **CHANGE** or **DELETE** existing threshold. You simply specify which action you wish to perform, add the amount, if appropriate, and press **P** for post on the appropriate Agency Review Criteria screen. In all cases, the Federal Agency may **only** perform these actions on those accounts containing **its own** ALC/Region. Updates to the database are immediate and are confirmed via screen message.

When you are at the Agency Review Criteria Prompt, the table below shows what happens when specific data is entered.

Select This Level	Fill in Field(s)	Gives you
F (Federal Agency)	ALC/Region	Agency Review Criteria at the Federal Agency Level - the screen for setting a threshold at the Federal Agency level.
R (Recipient Organization)	ALC/Region	Agency Review Criteria for Specific Recipient ID(S) - the screen for setting thresholds at the Recipient level. All your Recipients are displayed.
R (Recipient Organization)	ALC/Region and Recipient ID	Agency Review Criteria for Specific Recipient ID(S) - the screen for setting a threshold at the Recipient level. Only the Recipient you designated is displayed.
A (Account ID)	ALC/Region	Agency Review Criteria for Account ID(S) - Recipient List - the screen for selecting one of your Recipients.
A (Account ID)	ALC/Region and Recipient ID	Agency Review Criteria for Specific Account ID(S) - the screen for setting a threshold at the Account level. All the Accounts for the designated Recipient are displayed.
A (Account ID)	ALC/Region, Recipient ID, and Account ID	Agency Review Criteria for Specific Account ID(S) - the screen for setting a threshold at the Account level. Only the Account you designated is displayed.

➤ When a threshold is set at the Agency level, it applies to each account built by that Agency in ASAP. Each time funds are requested from any account built by your Agency at or above that amount, the request is held for Agency Review.

➤ When a threshold is set for a Recipient Organization (RO), it applies to each account for that RO. Each time funds are requested from any account built by your Agency for that RO at or above that amount, the request is held for Agency Review.

➤ When a threshold is set for a single account and a payment request from that account is made at or above that amount, the request is held for Agency Review.

EXAMPLE ONE

Using the Agency Review feature we will set thresholds for two accounts. Each time a single payment request exceeds the amount set for each account, the payment request will be placed in a queue for you to review and approve or reject the request. Prior to setting a threshold for Agency Review, you must notify the Payment Requestor and Recipient Organization.

STEP 1: ACTION

On the Account Functions Menu, type 5 for the Agency Review Criteria Prompt screen and press Enter.

```
 SP061A                 AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
 SP061AO                       ACCOUNT FUNCTIONS MENU                     HH:MM:SS
 08/02/2000 T


                        <1>  ACCOUNT PROFILE ENTRY

                        <2>  ACCOUNT DETAIL ENTRY

                        <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                        <4>  MAXIMUM DRAW AMOUNT PROMPT

                        <5>  AGENCY REVIEW CRITERIA PROMPT



                                        ENTER SELECTION NUMBER:5
                                        PRESS ENTER
                       F4=MENU  F5=MAIN
```

STEP 1: RESULT

The Agency Review Criteria Prompt screen appears.

```
 SP050A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP050AO                      AGENCY REVIEW CRITERIA PROMPT               HH:MM:SS
 08/02/2000 T


 SELECT LEVEL:     (F=FEDERAL AGENCY
            R=RECIPIENT ORGANIZATION(S)
            A=ACCOUNT ID(S))



      AGENCY LOCATION CODE/REGION:     11000001   / __   SHORT NAME: US MONEY1
 AND/OR RECIPIENT ID: _____                          SHORT NAME:
 AND/OR ACCOUNT ID: _____




    F4=MENU F5=MAIN
```

STEP 2: ACTION

To set a payment threshold at the Account Level, type A in the select level field. You have the option of hitting Enter to select a recipient from a list of all your recipients or of entering a Recipient ID to go right to a list of the accounts assigned to that recipient. We will hit Enter.

```
SP050A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
SP050AO                    AGENCY REVIEW CRITERIA PROMPT                  HH:MM:SS
08/02/2000 T



SELECT LEVEL: a    (F=FEDERAL AGENCY
              R=RECIPIENT ORGANIZATION(S)
              A=ACCOUNT ID(S))




    AGENCY LOCATION CODE/REGION:    11000001   / __   SHORT NAME: US MONEY1
AND/OR RECIPIENT ID: _____                          SHORT NAME:
AND/OR ACCOUNT ID:  _____



   F4=MENU F5=MAIN
```

STEP 2: RESULT

The Agency Review Criteria for Accounts ID(S) - Recipient List screen appears.

```
SP052A             AUTOMATED STANDARD APPLICATION FOR PAYMENTS           08/02/00
SP052AO  AGENCY REVIEW CRITERIA FOR ACCOUNT ID(S) - RECIPIENT LIST       HH:MM:SS
08/02/2000 T

                                              PAGE    1    OF 1
AGENCY LOCATION CODE/REGION:  11000001  /      SHORT NAME: US MONEY1

    <S> TO SELECT ONLY ONE RECIPIENT AT A TIME

    SEL   RECIPIENT ID    SHORT NAME       SEL    RECIPIENT ID    SHORT NAME


     _      0101111       GRAY U
     _      0101112        UMH




 F3=PRMT    F4=MENU F5=MAIN
```

STEP 3: ACTION

Type an **S** in the **SEL** (Select) column next to the recipient for which you wish to set
Agency Review Criteria and press Enter.

```
 SP052A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS           08/02/00
 SP052AO  AGENCY REVIEW CRITERIA FOR ACCOUNT ID(S) - RECIPIENT LIST      HH:MM:SS
 08/02/2000 T

                                                PAGE     1    OF 1
 AGENCY LOCATION CODE/REGION:  11000001  /      SHORT NAME: US MONEY1

    <S> TO SELECT ONLY ONE RECIPIENT AT A TIME

    SEL   RECIPIENT ID   SHORT NAME       SEL    RECIPIENT ID   SHORT NAME

     S     0101111        GRAY U
     _     0101112         UMH




  F3=PRMT    F4=MENU F5=MAIN

```

STEP 3: RESULT

The Agency Review Criteria for Specific Account ID(s) screen appears:

```
 SP054A             AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP054AO           AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)     HH:MM:SS
 08/02/2000 T
 PAGE 1 OF    1
 AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
 RECIPIENT ID: 0101111                               SHORT NAME: GRAY U

      SELECT <A> ADD     <C> CHANGE   <D> DELETE

 SEL    ACCOUNT ID          STATUS        THRESHOLD
  _     F1R10001              O      _____
  _     F1R10002              O      _____
  _     F1R10003              O      _____
  _     F1R10004              O      _____



 ACTION:  _      (P=POST, E=ESCAPE, R=REFRESH)

```

STEP 4: ACTION

Enter **A** in the **SEL** (Select) column next to the **ACCOUNT ID(S)** against which you
wish to set a threshold for Agency Review. Enter an amount in the Threshold column.
Type a **P** in the **ACTION** field and press Enter to post the action.
.

```
 SP054A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
 SP054AO          AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)       HH:MM:SS
 08/02/2000 T
 PAGE 1 OF    1
 AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
 RECIPIENT ID: 0101111                                 SHORT NAME: GRAY U


      SELECT <A> ADD      <C> CHANGE   <D> DELETE


 SEL    ACCOUNT ID          STATUS          THRESHOLD
 _      F1R10001              O     _____
 a      F1R10002              O     2500000_____
 _      F1R10003              O     _____
 a      F1R10004              O     3000000_____



 ACTION: p      (P=POST, E=ESCAPE, R=REFRESH)
```

STEP 4: RESULT

You are prompted "Are You Sure?" before the Agency Review parameters are posted.

```
 SP054A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
 SP054AO          AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)       HH:MM:SS
 08/02/2000 T
 PAGE 1 OF    1
 AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
 RECIPIENT ID: 0101111                                 SHORT NAME: GRAY U


      SELECT <A> ADD      <C> CHANGE   <D> DELETE


 SEL    ACCOUNT ID          STATUS          THRESHOLD
 _      F1R10001              O     _____
 A      F1R10002              O         $2,500,000.00
 _      F1R10003              O     _____
 A      F1R10004              O         $3,000,000.00


      ALL PAGES WILL BE POSTED-ARE YOU SURE?   (Y/N)          _
 ACTION: P      (P=POST, E=ESCAPE, R=REFRESH)

 I0123   PLEASE ENTER  Y (YES) OR  N (NO)
```

STEP 5: ACTION

Type Y and press Enter.

```
SP054A            AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
SP054AO        AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)    HH:MM:SS
08/02/2000 T
PAGE 1 OF   1
AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                             SHORT NAME: GRAY U

       SELECT <A> ADD     <C> CHANGE   <D> DELETE

SEL    ACCOUNT ID         STATUS        THRESHOLD
 _     F1R10001             O    _____
 A     F1R10002             O         $2,500,000.00
 _     F1R10003             O    _____
 A     F1R10004             O         $3,000,000.00

         ALL PAGES WILL BE POSTED-ARE YOU SURE?  (Y/N)        y
ACTION: P     (P=POST, E=ESCAPE, R=REFRESH)
I0123  PLEASE ENTER  Y (YES) OR  N (NO)
```

STEP 5: RESULT

You have successfully set thresholds for Agency Review for two accounts. Notice the message at the bottom of the screen - I0138 AGENCY REVIEW CRITERIA POSTED. DOES NOT APPLY TO 1031 REQUESTS.

```
SP054A            AUTOMATED STANDARD APPLICATION FOR PAYMENTS      08/02/00
SP054AO        AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)    HH:MM:SS
08/02/2000 T
PAGE 1 OF   1
AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                             SHORT NAME: GRAY U

       SELECT <A> ADD     <C> CHANGE   <D> DELETE

SEL    ACCOUNT ID         STATUS        THRESHOLD
 _     F1R10001             O    _____
 A     F1R10002             O         $2,500,000.00
 _     F1R10003             O    _____
 A     F1R10004             O         $3,000,000.00


ACTION: _      (P=POST, E=ESCAPE, R=REFRESH)

F3=PRMT F4=MENU F5=MAIN                      F11=LIST
I0138 AGENCY REVIEW CRITERIA POSTED.  DOES NOT APPLY TO 1031 REQUESTS
```

STEP 6: ACTION

Press F4=MENU to return to the Account Functions Menu.

```
SP054A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS       08/02/00
SP054AO         AGENCY REVIEW CRITERIA FOR SPECIFIC ACCOUNT ID(S)     HH:MM:SS
08/02/2000 T
PAGE 1 OF    1
AGENCY LOCATION CODE/REGION:  11000001  /     SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                              SHORT NAME: GRAY U


      SELECT <A> ADD     <C> CHANGE   <D> DELETE

SEL    ACCOUNT ID          STATUS         THRESHOLD
 _     F1R10001              O       _____
 A     F1R10002              O            $2,500,000.00
 _     F1R10003              O       _____
 A     F1R10004              O            $3,000,000.00



ACTION: _     (P=POST, E=ESCAPE, R=REFRESH)

F3=PRMT F4=MENU F5=MAIN                          F11=LIST

I0138 AGENCY REVIEW CRITERIA POSTED.  DOES NOT APPLY TO 1031 REQUESTS
```

STEP 6: RESULT

The Account Functions Menu appears.

```
SP061A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS       08/02/00
SP061AO                   ACCOUNT FUNCTIONS MENU                      HH:MM:SS
08/02/2000 T


                    <1>  ACCOUNT PROFILE ENTRY

                    <2>  ACCOUNT DETAIL ENTRY

                    <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                    <4>  MAXIMUM DRAW AMOUNT PROMPT

                    <5>  AGENCY REVIEW CRITERIA PROMPT


                                     ENTER SELECTION NUMBER:
                                     PRESS ENTER


                  F4=MENU  F5=MAIN
```

EXAMPLE TWO

Using the Agency Review feature we will set a threshold at the Recipient Organization (RO) Level. Each time a payment request against any account created by your Agency for this RO exceeds the threshold set, the payment request will be placed in a queue for you to review and approve or reject the request. For example, if RO 101112 has 10 accounts and the threshold is $10,000, that means that Account 1 has a threshold of $10,000, Account 10 has a threshold of $10,000, etc. It does not mean that if the RO requests $5,000 from Account 1 and $5,000 from Account 2 that the threshold is met and the requests against both accounts are held for review.

When you set a threshold for Agency Review, you must notify the affected Payment Requestor and Recipient Organization.

STEP 1: ACTION

On the Account Functions Menu, type 5 for the Agency Review Criteria Prompt screen and press Enter.

```
 SP061A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP061AO                      ACCOUNT FUNCTIONS MENU                        HH:MM:SS
 08/02/2000 T

                      <1>  ACCOUNT PROFILE ENTRY

                      <2>  ACCOUNT DETAIL ENTRY

                      <3>  DEFINE ELIGIBLE REQUESTORS AND RECIPIENTS

                      <4>  MAXIMUM DRAW AMOUNT PROMPT

                      <5>  AGENCY REVIEW CRITERIA PROMPT


                                        ENTER SELECTION NUMBER:5
                                        PRESS ENTER

                   F4=MENU  F5=MAIN
```

STEP 1: RESULT

The Agency Review Criteria Prompt screen appears.

```
 SP050A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP050AO                    AGENCY REVIEW CRITERIA PROMPT                   HH:MM:SS
 08/02/2000 T

 SELECT LEVEL:      (F=FEDERAL AGENCY
            R=RECIPIENT ORGANIZATION(S)
            A=ACCOUNT ID(S))



      AGENCY LOCATION CODE/REGION:     11000001   / __   SHORT NAME: US MONEY1
 AND/OR RECIPIENT ID: _____                       SHORT NAME:
 AND/OR ACCOUNT ID:   _____


    F4=MENU F5=MAIN
```

STEP 2: ACTION

To set a payment threshold at the Recipient Organization (RO) Level, type R in the select level field. You have the option of hitting Enter to select an RO from a list of all your ROs or of entering a RO ID to have only that RO displayed. We will hit Enter.

```
 SP050A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP050AO                    AGENCY REVIEW CRITERIA PROMPT                  HH:MM:SS
 08/02/2000 T


 SELECT LEVEL: r   (F=FEDERAL AGENCY
            R=RECIPIENT ORGANIZATION(S)
            A=ACCOUNT ID(S))




     AGENCY LOCATION CODE/REGION:     11000001   /  __   SHORT NAME: US MONEY1
 AND/OR RECIPIENT ID: _____                        SHORT NAME:
 AND/OR ACCOUNT ID: _____


    F4=MENU F5=MAIN
```

STEP 2: RESULT

The Agency Review Criteria for Specific Recipient ID(s) screen appears.

```
 SP053A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP053AO       AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)        HH:MM:SS
 08/02/2000 T

                                              PAGE    1 OF   1
 AGENCY LOCATION CODE/REGION:  11000001  /         SHORT NAME: US MONEY1

     SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

     SEL    RO ID    SHORT NAME         THRESHOLD
      _    0101111   GRAY U           _____
      _    0101112   UMH              _____




 ACTION:   _   (P=POST, E=ESCAPE, R=REFRESH)
```

STEP 3: ACTION

Enter **A** in the **SEL** (Select) column next to the **RO ID** against which you wish to set a threshold for Agency Review. Place the amount in the Threshold column. Type a **P** in the **ACTION** field and press Enter to post the action.

```
 SP053A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP053AO        AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)       HH:MM:SS
 08/02/2000 T

                                               PAGE     1 OF    1
 AGENCY LOCATION CODE/REGION:  11000001  /          SHORT NAME: US MONEY1

      SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

      SEL    RO ID    SHORT NAME         THRESHOLD
       _    0101111   GRAY U        _____
       a    0101112   UMH            3000000



 ACTION:   p   (P=POST, E=ESCAPE, R=REFRESH)
```

STEP 3: RESULT

The information you entered is displayed and you are prompted to verify that the criteria should be set.

```
 SP053A              AUTOMATED STANDARD APPLICATION FOR PAYMENTS          08/02/00
 SP053AO        AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)       HH:MM:SS
 08/02/2000 T

                                               PAGE     1 OF    1
 AGENCY LOCATION CODE/REGION:  11000001  /          SHORT NAME: US MONEY1

      SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

      SEL    RO ID    SHORT NAME         THRESHOLD
       _    0101111   GRAY U        _____
       A    0101112   UMH                 $3,000.000.00


        ALL PAGES WILL BE POSTED-ARE YOU SURE?  (Y/N)        _
 ACTION: P      (P=POST, E=ESCAPE, R=REFRESH)

 I0123  PLEASE ENTER  Y (YES) OR  N (NO)
```

STEP 4: ACTION

Type Y and press Enter.

```
SP053A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP053AO          AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)      HH:MM:SS
08/02/2000 T

                                                  PAGE    1 OF    1
AGENCY LOCATION CODE/REGION:  11000001   /          SHORT NAME: US MONEY1

     SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

     SEL    RO ID    SHORT NAME         THRESHOLD
     _      0101111   GRAY U          _____
     A      0101112   UMH                     $3,000.000.00


       ALL PAGES WILL BE POSTED-ARE YOU SURE?  (Y/N)          Y
ACTION: P       (P=POST, E=ESCAPE, R=REFRESH)

I0123   PLEASE ENTER  Y (YES) OR  N (NO)
```

STEP 4: RESULT

You have successfully set a threshold for Agency Review for all the accounts you have created for the selected recipient.

```
SP053A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP053AO          AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)      HH:MM:SS
08/02/2000 T

                                                  PAGE    1 OF    1
AGENCY LOCATION CODE/REGION:  11000001   /          SHORT NAME: US MONEY1

     SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

     SEL    RO ID    SHORT NAME         THRESHOLD
     _      0101111   GRAY U          _____
     A      0101112   UMH                     $3,000.000.00



ACTION: P       (P=POST, E=ESCAPE, R=REFRESH)

F3=PRMT F4=MENU F5=MAIN                        F11=LIST

I0138 AGENCY REVIEW CRITERIA POSTED.  DOES NOT APPLY TO 1031 REQUESTS
```

STEP 5: ACTION

Press F5=MAIN to return to the Main Menu.

```
SP053A               AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP053AO         AGENCY REVIEW CRITERIA FOR SPECIFIC RECIPIENT ID(S)      HH:MM:SS
08/02/2000 T


                                             PAGE    1 OF    1
AGENCY LOCATION CODE/REGION:  11000001  /        SHORT NAME: US MONEY1

     SELECT:   <A> ADD  <C> CHANGE  <D> DELETE

     SEL    RO ID     SHORT NAME          THRESHOLD
      _     0101111   GRAY U          _____
      A     0101112   UMH                   $3,000.000.00




ACTION: P      (P=POST, E=ESCAPE, R=REFRESH)

F3=PRMT F4=MENU F5=MAIN                          F11=LIST
I0138 AGENCY REVIEW CRITERIA POSTED.  DOES NOT APPLY TO 1031 REQUESTS
```

STEP 5: RESULT

The Main Menu is displayed.

```
SP010A                 AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP010AO                          MAIN MENU                              HH:MM:SS
08/02/2000 T



                    <1>  PAYMENT REQUEST PROCESSING
                    <2>  INQUIRY MENU
                    <3>  FEDERAL AGENCY FUNCTIONS MENU
                    <4>  RFC FUNCTIONS MENU
                    <5>  FRB SUPPORT PROCESSING
                    <6>  REPORT REQUEST MENU
                    <7>  NOTIFICATIONS



                  ASAP ID               ENTER SELECTION NUMBER: 3
      ORGANIZATION ACCESS CODE             PRESS ENTER

      F2=EXIT
```